

DEPARTMENT OF THE ARMY
Corps of Engineers, Omaha District
215 North 17th Street
Omaha, Nebraska 68102-4978

DM 690-1-430

CEMRO-HR-E

MEMORANDUM
NO. 690-1-430

1 April 1995

CIVILIAN PERSONNEL
PERFORMANCE MANAGEMENT

1. Purpose. This memorandum implements AR 690-400, Total Army Performance Evaluation System (TAPES) and prescribes Omaha District policy and procedures regarding the performance management process. This memorandum is not intended to be all-inclusive, but rather should be used in conjunction with AR 690-400, chapter 4302 and DA Pamphlet 690-400, chapter 4302. It provides general guidance. Questions on specific issues not covered by this guidance should be addressed to the Human Resources Office.
2. Applicability. This memorandum applies to the Omaha District and serviced activities, except for the Missouri River Division Office.
3. References.
 - a. AR 690-400, Total Army Performance Evaluation System, dated 22 May 1993.
 - b. DA Pamphlet 690-400, Total Army Performance Evaluation System (TAPES), dated 1 June 1993.
 - c. DM 11-1-2, Internal Management Control.
4. General. Department of the Army implemented a new performance appraisal system for civilian employees entitled the Total Army Performance Evaluation System (TAPES). TAPES is made up of two components, the Senior System and the Base System. Generally, employees are covered by either the Senior or Base System based upon the employee's pay plan (WG,WS,GS,WB) and grade. Career interns (regardless of grade) and WB foremen in Operations Division are covered by the Senior System. Cooperative education students are covered by the Base System.
5. Prescribed Forms.
 - a. DA Form 7222, Senior System Civilian Evaluation Report.
 - b. DA Form 7222-1, Senior System Civilian Evaluation Report Support Form (performance plan).
 - c. DA Form 7223, Base System Civilian Evaluation Report.
 - d. DA Form 7223-1, Base System Civilian Performance Counseling Checklist/Record (performance plan).
6. Counseling. One of the objectives of the TAPES system is to increase communication between ratees (employees) and their raters (supervisors). As such, personal counseling on performance expectations, values, and/or performance and accomplishments is required. Counseling sessions are to take place when performance plans are put in place, at least once during the rating period, and again at the end of the rating period when the evaluation is completed.

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7. Annual Rating Periods. The rating period generally covers a 12 month period. Ratees must be under an approved performance plan for at least 120 days before they can be rated. Ratees are rated in standard annual rating cycles. The cycles are outlined in appendix A. Requests to deviate from the standard annual rating cycle should be forwarded to the Human Resources Office for approval by the Human Resources Officer. Such requests will be approved only when it can be demonstrated that a particularly unique situation creates a need to deviate.

8. Performance Plans. Performance plans should be in place within 30 days of the beginning of the rating period. Plans should be jointly developed by both the rater and ratee and document expectations that are based on organizational missions and goals. They should reflect the types of duties and responsibilities listed in the job description and include training courses and professional development seminars that are to be completed during the rating period. Plans are in effect on the day they are approved by the senior rater. If significant changes are made to the plan during the rating period, the plan must again be signed by the ratee, rater, and senior rater. If a ratee declines to sign the plan, it may be effected by documenting that it was discussed with the ratee, the date of the discussion and that the ratee declined to sign.

9. Special Requirements for Performance Plans and Ratings.

a. Some positions have specific requirements for which clearly defined performance expectations must be developed. Among these requirements are Supervision and/or Leadership and Equal Employment Opportunity/Affirmative Action for all supervisors and managers. Supervisors must be rated at the excellence level in either Supervision and/or Leadership, or Equal Employment Opportunity/ Affirmative Action in order to be rated higher than "Successful Level 3".

b. District Memorandum 11-1-2, Internal Management Control, requires the inclusion of responsibility for internal management controls in the performance plans of Army managers. Appendix C contains internal control standards and objectives that must be used for managers, as appropriate, in the Omaha District.

c. Other examples where positions may include special requirements are: Security should be addressed for positions that access controlled documents, or where the protection of confidential data is required. Safety should be addressed in positions that perform or supervise work in maintenance, construction, at hazardous and toxic waste sites, or as otherwise applicable. Efforts to achieve cost savings and efficiency in contracting, as outlined in Title 19, USC 2301, should be addressed in positions with contracting responsibilities.

10. Extending and/or adjusting rating periods. When an appraisal cannot be completed at the end of the scheduled rating period because a performance plan has not been in place for at least 120 days, the rater must request an extension of the rating period by contacting the Human Resources Office. A written request is not required. If it is agreed that an extension is appropriate, approval will be granted and confirmed in writing.

11. Performance Appraisal Completion/Submission.

a. Appraisals must be completed in triplicate. One copy is forwarded to the Human Resources Office for filing in the ratee's official personnel folder, one copy is retained by the rater, and one copy (the original) goes to the ratee. The ratee should not receive the evaluation until after it is approved by the senior rater.

b. Appraisals are due (completed, signed by all parties, and forwarded to the Human Resources Office,) within 45 days of the end of the rating period. Evaluations received after the 45th day are reported as late or delinquent.

c. A copy of the performance plan must be attached to the copy of the evaluation that is forwarded to the Human Resources Office.

d. Objective ratings for Senior System ratees must be documented beside each rated objective on DA Form 7222-1.

e. If an objective/responsibility is rated other than "Success", a bullet comment is required in part VI(b).

f. Special appraisals, if any, must be considered when completing the annual appraisal. Attach the special appraisal to the annual appraisal. For more information on special appraisals, see paragraphs 12, 13, 18 and 21.

12. Early Annual vs. Special Appraisal. When a ratee or his/her rater leaves his/her position and the departure is less than 120 days before the end of the ratee's rating period, the annual appraisal is to be completed "early", through the date of departure. (Non-competitive career promotions are promotions to new positions and the ratee is considered to have departed his/her former position. As such, early annual or special appraisals must be completed as applicable.) In block "I (e)" of DA Form 7222 or 7223, mark "Annual" with a notation that the appraisal was completed early. Include a brief explanation; e.g., ratee promoted effective (date), or rater retired effective (date). When a situation such as this occurs more than 120 days before the ratee's regularly scheduled performance appraisal, a special appraisal is to be prepared, provided that ratee has worked for at least 120 days under an approved performance plan. A copy of the special appraisal will be provided to the gaining supervisor (rater) for consideration when completing the next regularly scheduled annual appraisal. Attach all applicable special appraisals to the annual appraisal. Do not forward special appraisals to the Human Resources Office separate from an annual appraisal.

13. Career Interns. Career interns are employees who are assigned to an entry or intermediate level position (GS-5/7/9) in an Army-wide or DOD-wide career program. Real Estate interns are not DA interns as the Real Estate career program is a USACE program, not an Army-wide program. Interns are covered by the Senior System. After the initial appointment as an intern, the intern receives a six month special appraisal, followed thereafter by annual appraisals based on the anniversary of their entrance on duty (EOD) date as an intern. When interns reach the full performance level for their career field, they are to be integrated into the regular Senior System cycle of appraisal due dates. Further questions regarding DA intern evaluations may be referred to the Human Resources Office.

14. Temporary Employees. Temporary employees whose appointments are for 120 days or longer are to be placed under a performance plan within 30 days of appointment consistent with the TAPES system (Senior/Base) for the grade and/or occupation involved. If an employee initially placed in an appointment of less than 120 days is subsequently placed in an appointment of 120 days or longer, a performance plan should be put into effect within 30 days. The criteria for special appraisals for temporary employees is the same as for permanent employees.

15. Employees New to Federal Service. If entrance on duty (EOD) occurs less than 120 days before the applicable rating period is scheduled to end, the employee's rating period will automatically be set to end 150 days from the EOD. This allows 30 days for the rater to put a performance plan in place, and 120 days for the employee to perform under the plan. Raters need not request an extension unless an extension beyond the 150 days is required.

16. Employees New to the Omaha District or Serviced Activity or Employees Moving to Positions That Change Their Annual Rating Cycle.

a. If entry into a position occurs less than 120 days before rating period ends and the employee received an annual appraisal their previous position, employee does not receive an annual rating. Time will be included in next annual rating period and as such, could result in a rating period of more than 12 months. If no annual evaluation was done, the rating period must be extended to allow the employee to perform for 120 days under a performance plan. Extension must be requested from Human Resources Development Branch.

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b. If after entry into a position the employee works at least 120 days under an approved performance plan before the rating period ends, the employee should receive an annual appraisal unless the employee has received an annual appraisal for the rating year. If the employee has received an annual appraisal for the rating year, the time in the new position will be added to the next rating period and may result in a rating period of more than 12 months.

17. Intermittent Employees.

a. Although subject to the appraisal process, some employees on intermittent work schedules may work so infrequently that their performance cannot be rated at the end of the scheduled rating period. This is particularly true for those who work intermittently 1 or 2 days per week throughout the year or for those who work full-time during the summer for a period of less than 120 days and then remain on the rolls in an intermittent status.

b. Performance appraisals in these types of employment situations should be as follows:

(1) If the end of the scheduled rating period approaches and it is apparent to the rater that the ratee cannot be rated at that time, but can be rated within six months, rater should request an extension of the rating period. See paragraph 10 for information of requesting extensions.

(2) If the end of the rating period approaches and it is apparent that performance cannot be rated within the next six months, rater should request that the Human Resources Office reset the appraisal date to the next year's scheduled date.

(3) In determining whether an intermittent employee has worked for the 120 day minimum time required under standards, raters must determine whether the employee has worked 120 calendar days. Actual work days must be converted to calendar time. Eighty-six work days are equivalent to 120 calendar days. (See enclosed conversion chart at appendix D.)

18. Details/Temporary Promotions/Temporary Reassignments. Employees on temporary promotions, temporary reassignments, and details of 120 days or more require performance plans. Performance while in a temporary promotion/reassignment or detail is usually documented by a special appraisal. If an employee spends most of a rating period on detail; e.g. 8 months or more, the rating chain may choose to convert the special appraisal to an annual appraisal by completing the administrative data (part 1 on DA Form 7222 or DA Form 7223), referencing the attached special appraisal and indicating that it is accepted as the rating of record. When the rating period ends during a temporary promotion/reassignment or detail, the following procedures apply:

a. Because an employee officially occupies a position to which he/she is temporarily promoted/reassigned, the supervisor of the position to which the employee is temporarily promoted/reassigned is responsible for preparing the annual performance appraisal. Special appraisals, if any, should be considered when preparing the annual appraisal.

b. Because an employee does not officially occupy a position to which he/she is detailed, the supervisor of the position from which the employee was detailed prepares the annual appraisal. Special appraisals, if any, should be considered when preparing the annual appraisal.

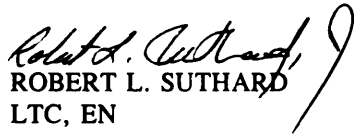
19. Performance Awards. Nominations for performance-based awards are to be submitted in accordance with Personnel Information Bulletin number 94-02 dated 14 March 1994. (See appendix B.) Award nominations are to be submitted within 30 days of the senior rater's approval date.

20. Unsatisfactory Performance. Supervisors with employees who are not performing satisfactorily at any time during the rating cycle need to take steps to assist the employee in improving their level of performance. Employees who do not improve to at least the "Needs Improvement" level in each objective/responsibility may be removed from their positions. Within-grade increases must not be granted to employees who are performing below the "Success" level. Supervisors should contact the Human Resources Office immediately upon recognizing that an employee is not meeting performance expectations. They should not wait until the end of the rating period.

21. Senior Rater Profiles. Senior Raters tabulate annual performance ratings they assign to all Senior System ratees in the same grade for the current rating period and record the totals in part VIII of DA Form 7222. "Special" appraisal ratings are not included. "Early annual" appraisal ratings are included; annual appraisals completed late due to approved extensions should be included in the profile for the next rating year.

FOR THE COMMANDER:

4 Appendices
APP A - TAPES Rating Cycles
APP B - Personnel Information Bulletin 94-02
APP C - TAPES Internal Management Control
(IMC) Objectives
APP D - Determining Creditable Service and
Determining Service Computation
Dates (SCD's)


ROBERT L. SUTHARD
LTC, EN
Deputy Commander

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APPENDIX A

TAPES RATING CYCLES

Senior System

1 Jul - 30 Jun
GS/GM-13 and above
Due in Human Resources Office - 14 Aug

1 Nov - 31 Oct
GS/WS-9 thru 12
WB identified as Foreman (2 @ each Power Plant)
Due in Human Resources Office - 15 Dec

Base System

1 Feb - 31 Jan
GS-6 thru 8
WG-6 and above
WS-6 thru 8
WL - All
WB - All (except WB Foreman)
Due in Human Resources Office - 17 Mar

1 May - 30 Apr
GS-5 and below
WG-5 and below
WS-5 and below
Due in Human Resources Office - 14 Jun

CAREER INTERNS: Rated under the Senior System. Rated initially after a 6-month period beginning on their EOD date, which will be a special appraisal. Thereafter, rated annually ending on their EOD date. Upon reaching full operating level, will be phased into the rating schedule for their grade/organization.

POWER PLANT TRAINEES: Rated annually ending on their EOD date into the training program. Upon reaching journeyman level, will be phased into the Base System (1 Feb - 28 Jan).

Omaha District Drill Crew

1 Jan - 31 Dec
Due in Human Resources Office - 15 Apr

Missouri River Division

Senior System - Same as above.
Base System - 2 Mar - 1 Mar
Due in Human Resources Office - 15 Apr

Recruiting Battalion

All employees: 1 Nov - 31 Oct
Due in Human Resources Office - 15 Dec

APPENDIX B

CEMRO-HR-S (672-20)

14 March 1994

PERSONNEL INFORMATION BULLETIN 94-02

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: TAPES Performance Award Nomination Procedures

1. The implementation of the Total Army Performance Evaluation System (TAPES) has necessitated new nomination procedures for performance awards. The following procedures are to be followed when nominating an employee for a performance award under TAPES:

- a. Complete parts I, II, and IV of DA Form 7222 (Senior System Civilian Evaluation Report) or DA Form 7223 (Base System Civilian Evaluation Report).
- b. Make a copy of the DA Form 7222 or 7223. This copy will now become your original performance award nomination, and henceforth will be referred to as such.
- c. On the performance award nomination, complete part III.
- d. Complete the remaining portion of the DA Form 7222 or 7223.
- e. Attach the FULLY completed DA Form 7222 or 7223 evaluation report to the performance award nomination and forward to the approving official for signature.
- f. Submit three copies of the performance award nomination PLUS one copy of the FULLY completed and approved DA Form 7222 or 7223 evaluation report to the Human Resources Services Branch, Incentive Awards Office (CEMRO-HR-SI).
- g. Submit a copy of the FULLY completed and approved DA Form 7222 or 7223 evaluation report to the Human Resources Development Branch (CEMRO-HR-E).

3. Questions regarding these nomination procedures may be directed to Debbie Halley at (402) 221-4201, or Craig Honke at (402) 221-4081.


LARRY G. BOEHM
Human Resources Officer

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APPENDIX C

CEHRO-RH-M (690-400)
CEHRO-HR-3

12 JUL 1993

MEMORANDUM FOR SEE DISTRIBUTION

SUBJECT: TAPES Internal Management Control (IMC) Objectives

1. References:

- a. AR 11-2. Internal Management Control.
- b. AR 690-400. Total Army Performance Evaluation System (TAPES).
- c. DM 11-1-2. Internal Management Control. 1 Dec 92.
- d. Memorandum. CEHRD-RH/CEHRD-HR. 1 Jun 93. SAB.

2. Reference 1.a. requires the inclusion of responsibility for IMC in the performance standards of Army managers. Reference 1.b. states the Division policy that IMC will be part of the TAPES objectives for Division/District employees as follows:

a. The objective below is to be included in the annual TAPES performance standards (Part IV.b. of DA Form 7222-1) of all Merit Pay employees, assessable unit managers (see paragraph 6.c. and Appendix C of reference 1.c.), and supervisors of assessable unit managers. (All District division and office chiefs are included under one or more of the preceding categories.)

Effectively and consistently institute the concept and related procedures of internal management control for my functions.

b. In addition, the following sub-objectives are strongly recommended for use by division and office chiefs, assessable unit managers (AUM) and the latter's supervisors as indicated to ensure performance evaluation based on specific program accomplishments.

Sub-objective	Div & Ofc Chief	AUM	Suprv of AUM
Understand and apply the Government Accounting Office (GAO) standards	X	X	X
Identify, report, and correct material weaknesses and deficiencies	X	X	X
Communicate personal support of IMC to subordinate staff	X		
Ensure that IMC responsibilities are adequately represented in subordinates' performance objectives	X		

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APP C
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CEHRO-RH-M


SUBJECT: TAPES Internal Management Control (IMC) Objectives

Sub-objective	Div & Ofc Chief	AUM	Suprv of AUM
Evaluate controls during inspections of subordinate elements	X		
Promptly resolve audit findings	X		
Use checklists to routinely evaluate controls over work processes and formally apply checklists as required by the management control plan		X	

c. The only exception to the requirement for including an IMC objective occurs when a position's supervisor determines that the position has no significant management responsibilities. In such a case, the supervisor must be able to defend the determination from challenges by auditors and inspectors.

3. Please ensure that an IMC objective is included in all applicable TAPES performance agreements. Questions should be addressed to Jim Clark, ext. 4430.

FOR THE COMMANDER:


WILLIAM S. PAVLICK
LTC. EN
Deputy Commander

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APPENDIX D

Determining Creditable Service and Determining Service Computation Dates (SCD's)

260-Day Work Year Chart

Give 1 year of credit for each 260 days worked. For amounts of less than 260 days, use this chart. Find the month entry at the top of the column in which number of days worked appears and then find the day entry at the left margin of the line on which the number of days appears e.g., 120 days worked convert to 5 months and 16 days of credit.

Days	Months											
	Under 1 mo.	1 mo. and up	2 mo. and up	3 mo. and up	4 mo. and up	5 mo. and up	6 mo. and up	7 mo. and up	8 mo. and up	9 mo. and up	10 mo. and up	11 mo. and up
0			43	65		108	130		173	195		238
1		22	44		87	109		152	174		217	239
2	1	23		66	88		131	153		196	218	
3	2	24	45	67	89	110	132	154	175	197	219	240
4	3		46	68		111	133		176	198		241
5		25	47		90	112		155	177		220	242
6	4	26		69	91		134	156		199	221	
7	5		48	70		113	135		178	200		243
8		27	49		92	114		157	179		222	244
9	6	28	50	71	93	115	136	158	180	201	223	245
10	7	29		72	94		137	159		202	224	
11	8		51	73		116	138		181	203		246
12		30	52		95	117		160	182		225	247
13	9	31		74	96		139	161		204	226	
14	10	32	53	75		118	140		183	205		248
15	11		54	76	97	119	141	162	184	206	227	249
16		33	55		98	120		163	185		228	250
17	12	34		77	99		142	164		207	229	
18	13		56	78		121	143		186	208		251
19		35	57		100	122		165	187		230	252
20	14	36		79	101		144	166		209	231	
21	15	37	58	80	102	123	145	167	188	210	232	253
22	16		59	81		124	146		189	211		254
23		38	60		103	125		168	190		233	255
24	17	39	61	82	104		147	169		212	234	
25	18			83		126	148		191	213		256
26		40	62		105	127		170	192		235	257
27	19	41	63	84	106	128	149	171	193	214	236	258
28	20	42		85	107		150	172		215	237	
29	21		64	86		129	151		194	216		259